

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re appl.: Dutta et al.

Serial No.: 09/817,111

Filing Date: 03/26/2001

For: Method and system for operating a rating server based on usage and download patterns within a peer-to-peer network

§ Group Art Unit: 2175

§ Examiner: Rimell, S.

S

§ Atty Docket #: AUS920010052US1

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# APPELLANT'S BRIEF IN RESPONSE TO OFFICE ACTION UNDER 37 C.F.R. § 41.37

This brief is filed in support of the Notice of Appeal, 10 filed 07/30/2004, and which appealed the rejection of claims 1-54from the decision of the examiner dated 05/03/2004; a petition for an extension of time is included in this response.

Please refer to the PTO-2038 form that is included in this response for payment information to cover the cost of filing a brief in support of an appeal as set forth in 37 C.F.R. 41.20(b)(2), which is (\$500), fee code 1402.

No additional fees are believed to be necessary for this response; if, however, any additional fees are necessary, please charge Deposit Account No. 50-1888 of Joseph Burwell to cover the cost of the fees, and any deficiency or overpayment should be charged to the above-numbered deposit account.

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#### I. REAL PARTY IN INTEREST

The real party in interest in this appeal is International Business Machines Corporation (IBM).

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#### II. RELATED APPEALS AND INTERFERENCES

With respect to other appeals or interferences that will directly affect, or be directly affected by, or have a bearing on the Board's decision in the pending appeal, there are no such appeals or interferences.

## III. STATUS OF CLAIMS

15 Claims 1-54 are pending in this application; claims 1-54 have been finally rejected; and claims 1-54 have been appealed. No claims have been canceled, withdrawn, or allowed.

## IV. STATUS OF AMENDMENTS

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No after-final amendments have been filed.

#### V. SUMMARY OF CLAIMED SUBJECT MATTER

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A method, a system, an apparatus, and a computer program product are presented for pruning a peer-to-peer network such that a peer-to-peer search within the peer-to-peer network is initiated beginning with those nodes on which relevant content has previously been found for particular search keywords (Specification, page 17, line 16). For each completed search, a peer node gathers client rating results (Figure 3) and then eventually forwards the rating information to a rating server (Figure 5; page 20, line 19). The rating results reflect the degree to which searches successfully located content for keywords in a search using particular peer nodes. A rating server maintains a database of rating results received from peer nodes (Page 25, line 6).

Prior to initiating a new search at a peer node, the peer node consults one or more rating databases to retrieve a set of initial nodes to which the node should initiate the new search in order to maximize the speed and success of finding relevant content (Page 18, line 11). The node then performs the new search using the set of initial nodes.

A rating server may support a variety of registration modes for registering peer nodes that access its rating database, and the rating server may support a variety of financial transaction modes with the different registration modes (Page 33, line 22). As part of the registration process, a peer node may download and install a rating plug-in that generates the client rating results (Page 22, line 29).

## VI. Grounds of rejection to be reviewed on appeal

The grounds of rejection that are on appeal are:
whether claims 1-3, 7-10, 13, 14, 17, 19-21, 25-28, 31, 32,

5 35, 37-39, 43-46, 49, 50, and 53 are anticipated under 35 U.S.C.
§ 102(e) by Van Stam, "Intelligent Peer-to-Peer System and Method for Collaborative Suggestions and Propagation of Media", U.S.
Patent Application Publication Number US 2003/0014759 A1, filed 12/21/2000 (effective filing date of at least 08/22/2000),

published 01/16/2003;

whether claims 12, 15, 18, 30, 33, 36, 48, 51, and 54 are unpatentable under 35 U.S.C. § 103(a) over Van Stam; and whether claims 4-6, 11, 16, 22-24, 29, 34, 40-42, 47, and 52 are unpatentable under 35 U.S.C. § 103(a) over Van Stam in view of Carey et al., "System and Method for Performing Content Experience Management", U.S. Patent Application Publication Number US 2002/0112035 A1, filed 10/30/2000, published 08/15/2002.

## 20 VII. ARGUMENTS

The claims stand and fall together.

VII.A. Was 35 U.S.C. § 102(e) properly applied in a rejection of claims 1-3, 7-10, 13, 14, 17, 19-21, 25-28, 31, 32, 35, 37-39, 43-46, 49, 50, and 53 as being anticipated over <u>Van Stam et al.</u>?

## Arguments in support of patentability

Independent claim 10 is the broadest claim in the patent

30 application. Hence, for purposes of this argument, Appellant argues for the patentability of the present invention using claim

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10 as an exemplary claim. Whereas independent claim 1 is written from the perspective of a method that is performed at a peer node (client), independent claim 10 is written from the perspective of a method that is performed at a server that supports the rating 5 databases that are used by the peer nodes in a peer-to-peer network. Within independent claim 1, a peer node sends a rating request message to the server, receives a rating request message from the server, and then commences a peer-to-peer node search from the peer node using the retrieved information. In contrast, 10 within independent claim 10, a server receives a rating request message, searches a rating database for matching keywords, retrieves a list of one or more node identifiers for peer nodes, and then returns a rating response message to the requesting peer node. Given that the most important claim element that is disputed with respect to the pending rejection is contained within each independent claim, and given that the most important claim element centers on an action by the server as recited within independent claim 10, Appellant argues that independent claim 10 is the broadest claim in the patent application and is appropriately used as an exemplary claim.

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Peer-to-peer searches typically result in many search hits, and only a few files are typically retrieved after a peer-to-peer search. Although the present invention and the system that is disclosed in Van Stam both provide an improved peer-to-peer search mechanism that should reduce the quantity of search hits and that should improve the quality of search hits, the methodologies are very different.

<u>Van Stam</u> discloses a computer system that facilitates peer-to-peer network interactions. In contrast to typical peer-to-peer interactions, though, Van Stam discloses a system in which peer nodes in a peer-to-peer network correlate user

preference information during a peer-to-peer search. This is briefly described in the "Summary of the Invention" section of Van Stam, which states in paragraph 0007:

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A network-based intelligent system for predicting ratings for items of media content according to how likely they are to appeal to a user provides a parallel, peer-to-peer system and method for collaborative suggestions and propagation of media. ... An originating client queries a targeted peer by transmitting a list indicative of its user's preferences. The targeted peer evaluates the 10 similarity of the transmitted list with a list of its own. If the two clients are sufficiently similar, the comparison continues in an interactive fashion. ... If the two clients are dissimilar, either the originating client or the targeted peer may terminate the query, depending on the 15 stage of the interaction; or the targeted peer may route the query to a second targeted peer. The interaction culminates in the originating client downloading client listings from the targeted peer to generate suggestions for the user. addition to the lists of preferences, the originating client 20 may download actual content items from the targeted peers.

As should be apparent by reference to the cited paragraph from Van Stam, the peer nodes in a peer-to-peer network correlate preferences that have been specified by users. If the preference lists of two users meet some statistical threshold, then the peer-to-peer search may be regarded as being successful and may be terminated at the successful node; in other words, it would not forward the peer-to-peer search to another peer node. this manner, a search does not rely only upon keyword matching; user preference information is used as a type of metadata to narrow the scope of the search in an effort to improve the quality of the results of peer-to-peer searches, which are able to return an abundance of information if there are many nodes within the peer-to-peer network.

The features of the present invention that are discussed hereinbelow are not disclosed in Van Stam, yet they are reflected in the independent claims as amended after the non-final rejection. Independent claim 10, as amended, contains the following elements (the amended language has been emphasized in a bold font in order to draw attention to the claim element that has been added after the non-final Office action to distinguish the claims from Van Stam):

10. A method for facilitating a search for information within a distributed data processing system, the method comprising:

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receiving at a server a rating request message comprising a list of one more keywords from a peer node; searching a rating database for matching keywords; retrieving a list of one or more node identifiers for peer nodes in a peer-to-peer network that are associated with the matching keywords; and

sending to the peer node a rating response message comprising the list of node identifiers, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords-

These claim elements are not disclosed in  $\underline{\text{Van Stam}}$  nor the other prior art references of record.

Nith respect to the present invention, a peer-to-peer network improves its search results through a feedback mechanism that is based on the files that are retrieved in response to peer-to-peer searches. More specifically, a user or a peer node decides, in some manner, which file or files are to be retrieved after the peer-to-peer search results are reviewed. The present invention does not capture the decision process; however, the present invention does capture the results of the decision process by taking advantage of the following novel observation: it may be assumed that any file that is retrieved from another peer node as a result of a search hit from a peer-to-peer search is much more significantly relevant with respect to other files

that have not been retrieved in response to their associated search hits. Hence, the present invention implements a mechanism in which, for each completed search, a peer node gathers rating information about file retrievals in response to search hits, and the peer node eventually forwards the rating information to a rating server; these features are reflected in dependent claim 3 and similar dependent claims. The rating results reflect the degree to which peer-to-peer searches have successfully located content for keywords.

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The interpretation of the present invention as supporting a feedback mechanism within a peer-to-peer network is completed by the following concept. Prior to initiating a new peer-to-peer search, a peer node consults one or more rating databases at one or more servers to retrieve a set of initial nodes to which the peer node should initiate the new search, thereby maximizing the speed and success of finding relevant content. This particular feature is reflected in the amended claim language, which has been added to all of the independent claims. The amended claim language specifically recites the content of a rating response message, i.e. "wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords". After receiving this information, the peer node then performs the new search using the received list of node identifiers as identifying a set of initial nodes for the peer-to-peer search.

In this manner, the present invention improves the results of a peer-to-peer search within the peer-to-peer network by limiting the number of root nodes that are used to initiate a search and by increasing the quality of the root nodes that are chosen. This selection process is supported by databases that

are maintained on central servers within the peer-to-peer network. These databases, termed "rating databases" in the claim terminology, contain information about files that have been retrieved in response to previous searches on particular keywords. In essence, it is assumed that significantly relevant content has previously been found for particular keywords when a file is retrieved based on a search hit.

The final rejection attempted to address the amended claim language, i.e. "wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords". On page 3 of the final Office action, last paragraph, to page 4, first paragraph, the rejection of claim 10 states the following:

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The listing of nodes provided to each peer is a complete listing of all the nodes connected to the network. Since at least some of the nodes share lists (files) with other nodes, the listing of nodes includes those nodes from which a file was retrieved by another peer at some point during the exchange of files.

As noted in the rejection, <u>Van Stam</u> discloses that the listing of nodes that are provided to a peer is a list of all of the nodes in the network. The argument in the rejection is illogical; moreover, the logic of the argument is erroneous with respect to its interpretation of the claim language.

First, the listing of nodes that are provided to a peer node as disclosed in <u>Van Stam</u> is not equivalent to the listing of nodes that are provided to a peer node as stated in the claims of the present invention. In <u>Van Stam</u>, the listing of nodes contains all nodes in the network; hence, any node that could be in the listing <u>is</u> in the listing. However, the claims require that "each listed node identifier identifies a node within a

peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords"; the claim language is very specific. In the present invention, the list of peer nodes does not identify extra peer nodes or any and all nodes; the list of peer nodes is a specific subset of the peer nodes within the network. As explained above, this list of peer nodes is very important to the peer node that has requested the list via the rating request message. Prior to initiating a new peer-to-peer search, a peer node consults one or more rating databases at one or more servers to retrieve a set of initial nodes to which the peer node should initiate the new search, thereby maximizing the speed and success of finding relevant content. As argued by the rejection, the system of Van Stam could only initiate a peer-to-peer search to all of the peer nodes in the listing or possibly a random subset because the peer node that receives the listing cannot discern from the listing which subset of peer nodes that it should use.

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Moreover, the fact that the listing of nodes in <u>Van Stam</u> hypothetically might include some nodes from which a file was retrieved by another peer at some point during an exchange of files does not necessarily mean that files were retrieved from those nodes specifically because those files at those nodes contained the desired keywords, which is a feature that is accomplished by the present invention and that is reflected in the claim language for the present invention. The rejection has grasped at straws and has asserted a hypothetical scenario that is irrelevant because the disclosed actions in <u>Van Stam</u> are not equivalent to the features that are claimed as is required by a proper anticipation rejection.

# Rejections are deficient with respect to requirements for a proper anticipation rejection

Clearly, the rejection has not carefully considered the elements of claim 10 nor has the rejection pointed out the claimed features within Van Stam as is required for a proper anticipation rejection. More importantly, Van Stam does not disclose the claimed features and cannot be used as an anticipation reference. As stated at MPEP § 2131: "A claim is anticipated only if each and every element as set forth in the claim is found, either expressly or inherently described, in a single prior art reference." Verdegaal Bros. v. Union Oil Co. of California, 814 F.2d 628, 631, 2 USPQ2d 1051, 1053 (Fed. Cir. 1987). "The identical invention must be shown in as complete detail as is contained in the ... claim." Richardson v. Suzuki Motor Co., 868 F.2d 1226, 1236, 9 USPQ2d 1913, 1920 (Fed. Cir. 1989). Hence, the rejection of claim 10 over Van Stam is improper. For this and other reasons, Appellant argues that the position of the Examiner should be reversed and that the rejection of claim 10 should not be upheld.

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#### VIII. APPENDIX OF CLAIMS

1. A method for searching for information within a distributed data processing system, the method comprising:

obtaining a list of one or more keywords from a search query entered by a user of a first peer node;

sending a rating request message comprising the list of one more keywords to a server;

receiving a rating response message comprising a list of

10 node identifiers from the server, wherein each listed node

identifier identifies a node within a peer-to-peer network from

which a file has previously been retrieved in response to a

peer-to-peer search that used a keyword in the list of one or

more keywords; and

initiating a peer-to-peer search from the first peer node by sending a search query message to a plurality of peer nodes, wherein the search query message comprises the search query, and wherein the plurality of peer nodes includes at least one peer node identified in the list of node identifiers from the server.

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2. The method of claim 1 further comprising:

receiving from a second peer node a search result message for the peer-to-peer search comprising a node identifier for the second peer node; and

retrieving from the second peer node a file identified by the search result message.

3. The method of claim 2 further comprising:
 capturing a node identifier for the second peer node from
which the file was retrieved; and
 storing at the first peer node the node identifier in
association with the list of one or more keywords.

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- 4. The method of claim 3 further comprising: generating client rating information at the first peer node, wherein the client rating information comprises data relating one or more keywords and one or more captured node identifiers; and sending the client rating information to the server.
  - 5. The method of claim 4 wherein the client rating information comprises data relating file usage statistics for the retrieved file and one or more captured node identifiers.
- 6. The method of claim 3 further comprising: capturing file usage statistics for the retrieved file; and storing at the first peer node the file usage statistics in 20 association with the list of one or more keywords.
  - 7. The method of claim 1 further comprising: registering the first peer node with the server.
- 25 8. The method of claim 1 further comprising: receiving a rating module from the server; and installing the rating module on first peer node.
- 9. The method of claim 8 wherein the rating module is installed 30 as part of a process of registering the first peer node with the server.

Page 13 Dutta et al. - 09/817,111 10. A method for facilitating a search for information within a distributed data processing system, the method comprising:

receiving at a server a rating request message comprising a list of one more keywords from a peer node;

searching a rating database for matching keywords;

retrieving a list of one or more node identifiers for peer nodes in a peer-to-peer network that are associated with the matching keywords; and

sending to the peer node a rating response message

10 comprising the list of node identifiers, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords.

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- 11. The method of claim 10 further comprising:

  receiving client rating information from the peer node; and indexing the client rating information from the peer node with client rating information from additional peer nodes into the rating database.
  - 12. The method of claim 10 further comprising:
     initiating a financial transaction for a user or an owner of
    the peer node in response to accepting a request to access the
    rating database.
    - 13. The method of claim 10 further comprising: registering the peer node at the server.
- 30 14. The method of claim 13 further comprising: downloading a rating module to the peer node.

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- 15. The method of claim 13 further comprising:
   identifying the registered peer node as a subscribing peer
  node, wherein a subscribing peer node receives access to the
  rating database for a periodic fee.
- 16. The method of claim 13 further comprising:
   identifying the registered peer node as a rating peer node,
   wherein a rating peer node is allowed to submit client rating

  10 information to the server.
  - 17. The method of claim 16 further comprising:

    providing the rating peer node with access to the rating database for no fee.
  - 18. The method of claim 16 further comprising:

    providing the rating peer node with access to the rating database for a predetermined fee.

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19. An apparatus for searching for information within a distributed data processing system, the apparatus comprising:

obtaining means for obtaining a list of one or more keywords from a search query entered by a user of a first peer node;

first sending means for sending a rating request message comprising the list of one more keywords to a server;

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first receiving means for receiving a rating response message comprising a list of node identifiers from the server, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords; and

initiating means for initiating a peer-to-peer search from the first peer node by sending a search query message to a plurality of peer nodes, wherein the search query message comprises the search query, and wherein the plurality of peer nodes includes at least one peer node identified in the list of node identifiers from the server.

20 20. The apparatus of claim 19 further comprising:

second receiving means for receiving from a second peer node a search result message for the peer-to-peer search comprising a node identifier for the second peer node; and

retrieving means for retrieving from the second peer node a file identified by the search result message.

- 21. The apparatus of claim 20 further comprising:
   first capturing means for capturing a node identifier for
  the second peer node from which the file was retrieved; and
   first storing means for storing at the first peer node the
  node identifier in association with the list of one or more
  keywords.
- 22. The apparatus of claim 21 further comprising: generating means for generating client rating information at 10 the first peer node, wherein the client rating information comprises data relating one or more keywords and one or more captured node identifiers; and

second sending means for sending the client rating information to the server.

- 23. The apparatus of claim 22 wherein the client rating information comprises data relating file usage statistics for the retrieved file and one or more captured node identifiers.
- 20 24. The apparatus of claim 21 further comprising: second capturing means for capturing file usage statistics for the retrieved file; and second storing means for storing at the first peer node the file usage statistics in association with the list of one or more
  - 25. The apparatus of claim 19 further comprising: registering means for registering the first peer node with

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keywords.

the server.

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26. The apparatus of claim 19 further comprising:

third receiving means for receiving a rating module from the server; and

installing means for installing the rating module on first peer node.

27. The apparatus of claim 26 wherein the rating module is installed as part of a process of registering the first peer node with the server.

28. An apparatus for facilitating a search for information within a distributed data processing system, the apparatus comprising:

first receiving means for receiving at a server a rating request message comprising a list of one more keywords from a peer node;

searching means for searching a rating database for matching keywords;

retrieving means for retrieving a list of one or more node 10 identifiers for peer nodes in a peer-to-peer network that are associated with the matching keywords; and

sending means for sending to the peer node a rating response message comprising the list of node identifiers, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords.

29. The apparatus of claim 28 further comprising: second receiving means for receiving client rating information from the peer node; and

indexing means for indexing the client rating information from the peer node with client rating information from additional peer nodes into the rating database.

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30. The apparatus of claim 28 further comprising:

initiating means for initiating a financial transaction for a user or an owner of the peer node in response to accepting a request to access the rating database.

- 31. The apparatus of claim 28 further comprising: registering means for registering the peer node at the server.
- 5 32. The apparatus of claim 31 further comprising:
  downloading means for downloading a rating module to the peer node.
- 33. The apparatus of claim 31 further comprising:

  10 first identifying means for identifying the registered peer node as a subscribing peer node, wherein a subscribing peer node receives access to the rating database for a periodic fee.
- 34. The apparatus of claim 31 further comprising:

  second identifying means for identifying the registered peer node as a rating peer node, wherein a rating peer node is allowed to submit client rating information to the server.
- 35. The apparatus of claim 34 further comprising:
  20 first providing means for providing the rating peer node
  with access to the rating database for no fee.
- 36. The apparatus of claim 34 further comprising:
  second providing means for providing the rating peer node
  with access to the rating database for a predetermined fee.

37. A computer program product in a computer readable medium for use within a distributed data processing system for searching for information, the computer program product comprising:

instructions for obtaining a list of one or more keywords from a search query entered by a user of a first peer node;

instructions for sending a rating request message comprising the list of one more keywords to a server;

instructions for receiving a rating response message comprising a list of node identifiers from the server, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords; and

instructions for initiating a peer-to-peer search from the first peer node by sending a search query message to a plurality of peer nodes, wherein the search query message comprises the search query, and wherein the plurality of peer nodes includes at least one peer node identified in the list of node identifiers from the server.

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- 38. The computer program product of claim 37 further comprising: instructions for receiving from a second peer node a search result message for the peer-to-peer search comprising a node identifier for the second peer node; and
- instructions for retrieving from the second peer node a file identified by the search result message.

- 39. The computer program product of claim 38 further comprising: instructions for capturing a node identifier for the second peer node from which the file was retrieved; and
- instructions for storing at the first peer node the node identifier in association with the list of one or more keywords.
- 40. The computer program product of claim 39 further comprising: instructions for generating client rating information at the first peer node, wherein the client rating information comprises data relating one or more keywords and one or more captured node identifiers; and

instructions for sending the client rating information to the server.

- 15 41. The computer program product of claim 40 wherein the client rating information comprises data relating file usage statistics for the retrieved file and one or more captured node identifiers.
- 42. The computer program product of claim 39 further comprising:
  20 instructions for capturing file usage statistics for the retrieved file; and

instructions for storing at the first peer node the file usage statistics in association with the list of one or more keywords.

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43. The computer program product of claim 37 further comprising: instructions for registering the first peer node with the server.

- 44. The computer program product of claim 37 further comprising: instructions for receiving a rating module from the server; and
- instructions for installing the rating module on first peer 5 node.
  - 45. The computer program product of claim 44 wherein the rating module is installed as part of a process of registering the first peer node with the server.

- 46. A computer program product in a computer readable medium for use within a distributed data processing system for facilitating a search for information, the computer program product comprising:
- instructions for receiving at a server a rating request message comprising a list of one more keywords from a peer node; instructions for searching a rating database for matching

instructions for retrieving a list of one or more node

10 identifiers for peer nodes in a peer-to-peer network that are
associated with the matching keywords; and

instructions for sending to the peer node a rating response message comprising the list of node identifiers, wherein each listed node identifier identifies a node within a peer-to-peer network from which a file has previously been retrieved in response to a peer-to-peer search that used a keyword in the list of one or more keywords.

47. The computer program product of claim 46 further comprising:
20 instructions for receiving client rating information from the peer node; and

instructions for indexing the client rating information from the peer node with client rating information from additional peer nodes into the rating database.

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keywords;

48. The computer program product of claim 46 further comprising: instructions for initiating a financial transaction for a user or an owner of the peer node in response to accepting a request to access the rating database.

- 49. The computer program product of claim 46 further comprising: instructions for registering the peer node at the server.
- 50. The computer program product of claim 49 further comprising:
  5 instructions for downloading a rating module to the peer node.
- 51. The computer program product of claim 49 further comprising:
  instructions for identifying the registered peer node as a
  10 subscribing peer node, wherein a subscribing peer node receives
  access to the rating database for a periodic fee.
  - 52. The computer program product of claim 49 further comprising: instructions for identifying the registered peer node as a rating peer node, wherein a rating peer node is allowed to submit client rating information to the server.
- 53. The computer program product of claim 52 further comprising: instructions for providing the rating peer node with access 20 to the rating database for no fee.
  - 54. The computer program product of claim 52 further comprising: instructions for providing the rating peer node with access to the rating database for a predetermined fee.

# IX. Evidence appendix

None.

# 5 X. Related proceedings appendix

None.

# XI. Conclusion

In view of the above arguments, it is respectfully urged that the rejection of the claims should not be sustained.

	DATE:	January 31, 2005	Respectfully submitted,
15			Joseph R. Burwell Reg. No. 44,468 ATTORNEY FOR APPELLANT
20			Law Office of Joseph R. Burwell P.O. Box 28022
		•	Austin, Texas 78755-8022 Voice: 866-728-3688 (866-PATENT8)
25			Fax: 866-728-3680 (866-PATENTO) Email: joe@burwell.biz